

# Exhibit 5



# CO-DOB Money Transmitters License Amendment Checklist (Company)

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## CHECKLIST SECTIONS

- [General Information](#)
- [Amendments](#)

## GENERAL INFORMATION

### Instructions

When making changes to your record in NMLS, Colorado Division of Banking requires advance notification for some changes. See the checklist below for details.

### Uploading Agency-Specific Documents

If you are required to upload documents to NMLS for an Advance Change Notice (ACN), select “Advance Change Notice” for the document type in the NMLS Document Uploads section. If you are required to upload documents for an amendment that doesn’t require ACN, select the applicable document type in the NMLS Document Uploads section.

**Note:** Use the recommended filing naming convention found on the [Document Upload Descriptions and Examples](#).

### Helpful Resources

- [Amendments & Advance Change Notice](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

### Agency Contact Information

Contact Colorado Division of Banking licensing staff by phone at (303) 894-7575 or send your questions via email to [DORA\\_BankingApplications@state.co.us](mailto:DORA_BankingApplications@state.co.us) for additional assistance.

*For U.S. Postal Service and Overnight Delivery:*

*Colorado Division of Banking  
Applications Manager  
1560 Broadway, Suite 975  
Denver, CO 80202*

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.

## AMENDMENTS

- [Change of Legal Name](#)
- [Change of Main Address](#)
- [Addition or Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
- [Change of Legal Status](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
  - Change of Control: \$2,000

### ***Colorado Banking Board Rule MO5 – CHANGE OF CONTROL (§11-110-112, C.R.S.)***

A. A person has control over a licensee if:

1. The person directly or indirectly or acting through one or more other persons owns, controls, or has power to vote 25 percent or more of any class of voting securities of the licensee; or
2. The Banking Board determines, after notice and opportunity for hearing, that the person directly or indirectly exercises a controlling influence over the activities of the licensee.

B. In any case in which a person or a group of persons, directly or indirectly or acting by or through one or more persons, proposes to purchase or acquire a controlling interest in a licensee, and thereby to change the control of that licensee, each person or group of persons shall provide written notice to the Commissioner.

1. A licensee the stock of which is traded on an organized stock exchange and a licensee which is a direct or indirect subsidiary of a publicly traded corporation shall provide the Commissioner with written notice within 15 days after knowledge of such change in control.

**2. A licensee which is not a corporation, or a corporation the stock of which is not publicly traded, shall provide the Commissioner with not less than 30 days prior written notice of such proposed change in control.**

- [Addition or Modification of Indirect Owners](#)
- [Change of Disclosure Question\(s\)](#)

**Note:** Information uploaded or filed in NMLS will not be viewable to the agency until the filing has been attested to and submitted through NMLS. Agency-specific requirements that should be emailed or mailed to the agency on the checklist below must be received with the appropriate checklist within five (5) business days of the electronic submission of your filing through NMLS.

Complete	CO-DOB Money Transmitters License Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Legal Name:</b> Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.	NMLS
Note	<b>Change of Legal Name Fee:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A

Complete	CO-DOB Money Transmitters License Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Main Address:</b> Submit an amendment for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS.	NMLS
Note	<b>Change of Main Address:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A

Complete	CO-DOB Money Transmitters License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Other Trade Name:</b> Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS.	NMLS
Note	<b>Addition of Other Trade Name</b> \$0 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A

Complete	CO-DOB Money Transmitters License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Deletion of Other Trade Name:</b> Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS.  If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).	NMLS

Complete	CO-DOB Money Transmitters License Change of Legal Status Amendment Items	Submitted via...
<b>Note:</b> In many cases, a change to the Fiscal Year End, Legal Status, and State or Date of Formation indicates a new entity has been formed and a new NMLS record is required. This includes the creation of a new NMLS account and submission of a new Company Form (MU1).		
<input type="checkbox"/>	<b>Change of Legal Status:</b> Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS.	NMLS

Complete	CO-DOB Money Transmitters License Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Affiliates/Subsidiaries:</b> Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.	NMLS

Complete	CO-DOB Money Transmitters License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Direct Owners:</b> Submit an ACN for an addition or change in Direct Owners of 25% or more and related change in Executive Officer(s), if applicable, within the Company Form (MU1) in NMLS. 30 Days notice must be provided for this change.  <i>Please note the Colorado Banking Board must approve any change in Direct Owners of 25% or more and 30 days may not provide enough time; the Colorado Division of Banking recommends any change in Direct Owners be provided as soon as possible to ensure timely review and approval.</i>	NMLS
<input type="checkbox"/>	<b>Change of Control:</b> \$2,000	NMLS (Agency Fee Invoice)
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.	N/A
<input type="checkbox"/>	<b>FBI Criminal Background Check for MU2 Individual:</b> \$36.25 per person.	NMLS (Filing submission)

Complete	CO-DOB Money Transmitters License  Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>MU2 Individual FBI Criminal Background Check Requirements:</b> When added to the Company Form (MU1), the following Individuals, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS.</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> <li>The person directly or indirectly or acting through one or more other persons owns, controls, or has power to vote 25 percent or more of any class of voting securities of the licensee.</li> </ul> <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> <li>Any newly elected executive officers as part of the Change of Control.</li> </ul> <p>After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.</p> <p>See the <a href="#">Criminal Background Check section</a> of the NMLS Resource Center for more information.</p> <p><b>Note:</b> If you are able to 'Use Existing Prints' to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.</p>	<b>NMLS</b>
<input type="checkbox"/>	<p><b>Personal Financial Statement:</b> The following individuals, as specified below, on the Company Form (MU1) are required to upload a personal financial statement.</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> <li>The person directly or indirectly or acting through one or more other persons owns, controls, or has power to vote 25 percent or more of any class of voting securities of the licensee.</li> </ul> <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> <li>Any newly elected executive officers as part of the Change of Control.</li> </ul> <p>This document should be named <i>[State Abbreviation] – Personal Financial Statement</i>.</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Personal Financial Statement</u> in the <i>Document Uploads</i> section of the Individual Form (MU2).</p>
<input type="checkbox"/>	<p><b>State Background Check Authorization:</b> The following individuals, as specified below, on the Company Form (MU1) are required to upload a Colorado Certification and Authorization.</p> <p>Click <a href="#">here</a> to access the form.</p> <p>Fingerprint cards are also required to be mailed to the Colorado Division of Banking. See <b>REQUIREMENTS SUBMITTED OUTSIDE OF NMLS</b> below for details.</p> <p><b>Note:</b> This is separate from the NMLS federal background check for the</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>State Background Check Authorization</u> in the <i>Document Uploads</i> section of the Individual Form (MU2).</p>

Complete	CO-DOB Money Transmitters License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
	<p>submission of the Individual Form (MU4).</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> <li>The person directly or indirectly or acting through one or more other persons owns, controls, or has power to vote 25 percent or more of any class of voting securities of the licensee.</li> </ul> <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> <li>Any newly elected executive officers as part of the Change of Control.</li> </ul> <p>This document should be named <i>[State Abbreviation] – BC Authorization</i>.</p>	
<input type="checkbox"/>	<p><b>Fingerprint Cards:</b> Please contact the Colorado Division of Banking to have fingerprint cards mailed to you.</p> <p>If you wish to provide fingerprint cards without requesting them from the Division, please ensure the following:</p> <ul style="list-style-type: none"> <li>Only use the FB-258 blue cards</li> <li>Leave the boxes for “Employer and Address”, “Reason Fingerprinted”, “Your No. OCA”, and “ORI” blank</li> </ul> <p>Confirm the fingerprints are not smudged and that information is printed clearly and in black ink.</p>	Mail to Colorado Division of Banking

Complete	CO-DOB Money Transmitters License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition or Modification of Indirect Owners:</b> Submit an amendment for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS.</p>	NMLS
Note	<p><b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.</p>	N/A
Note	<p><b>MU2 Individual FBI Criminal Background Check Not Required Through NMLS:</b> Indirect Owners are NOT required to authorize a FBI criminal background check (CBC) through NMLS.</p>	N/A

Complete	CO-DOB Money Transmitters License Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Disclosure Question(s):</b> Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	<b>NMLS</b>
<input type="checkbox"/>	<b>Changing a Response from No to Yes:</b> Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes” for company or each control person. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.	<b>Upload in NMLS</b> in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<input type="checkbox"/>	<b>Changing a Response from Yes to No:</b> When changing a Disclosure Question response from Yes to No, you will be required to remove the question from the associated Disclosure Explanation and provide an Amendment Reason. You must select “Add Explanation for “No” Responses” and provide an explanation for each response that changes from “Yes” to “No” for company or each control person. You must also upload a document (PDF) related to the explanation. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.	<b>NMLS</b>